

CERTIFICATE FOR INTRODUCTION TO SECURITIES & INVESTMENT

The Chartered Institute for Securities & Investment is the principal provider of qualifications designed for financial services practitioners. Its exams are taken in over 75 countries. The Institute actively promotes the advancement of knowledge in the field of securities and investment in schools, colleges and universities.

Partnering with schools and colleges allows the CISI to offer a strong foundation of knowledge to those considering a career in financial services.

The **Certificate for Introduction to Securities & Investment** has been specifically designed to provide students with a direct-entry route into the financial services industry. It provides an overview of all areas of investment and the role of financial services in the UK economy. The qualification comprises two units: the **Introduction to Securities & Investment** unit and an **Extended Project**.

The CISI has already accredited several schools, colleges of further education and skills academies to deliver training for the qualification. It has been available to schools and colleges since September 2010.

UCAS Affiliation



The **Certificate for Introduction to Securities & Investment** is the first CISI qualification to receive a UCAS tariff. Students achieving the highest grade of a Pass with Distinction can claim 60 tariff points, which is equivalent to a grade A at A/S Level. Students achieving a Pass with Merit or a Pass can claim 40 and 20 points respectively. UCAS points can only be achieved by completion of both units 1 and 2.

A fully interactive learning manual with support text will be available from September 2011.

Benefits for schools and colleges

- ✓ Government funding available
- ✓ Flexible teaching structure
- ✓ Fully recognised by Ofqual and on the Qualifications and Credit Framework (QCF)
- ✓ Fulfils Unit 1 of the **Investment Operations Certificate (IOC)** also known as the **Investment Administration Qualification (IAQ)** used by employers throughout the sector
- ✓ Forms part of the Level 3 Advanced Apprenticeship in Providing Financial Services
- ✓ Potential for sponsorship by firms
- ✓ Free training and teaching materials available to teachers

Benefits for students

- ✓ Government funding available
- ✓ Students can claim up to 60 UCAS points depending on the grade they achieve
- ✓ Unit 1 is recognised as a vocational award by the financial services industry
- ✓ Provides a comprehensive overview of a broad range of financial services activities
- ✓ Is the first step to completing the globally recognised **IOC** (also known as the **IAQ**)
- ✓ Free CISI student membership, elearning and visit to the City of London
- ✓ Half price CISI fees

“ We have been running **Introduction to Securities & Investment** courses successfully since 2004. The qualification gives our students a broad coverage and allows them to demonstrate their understanding and awareness of the sector. As an industry-recognised qualification, it has helped many of our candidates find work in financial services.

Shahnaz Begum,
Tutor, Tower Hamlets College

Unit 1: Introduction to Securities & Investment - Summary Syllabus

ELEMENT 1 INTRODUCTION

1.1 The Financial Services Industry

ELEMENT 2 ECONOMIC ENVIRONMENT

2.1 Economic Environment

ELEMENT 3 FINANCIAL ASSETS AND MARKETS

3.1 Cash Deposits

3.2 Money Market Instruments

3.3 Property

3.4 Foreign Exchange Market

3.5 Derivatives/Commodity Markets

3.6 World Stock Markets

ELEMENT 4 EQUITIES

4.1 Equities

ELEMENT 5 BONDS

5.1 Government Bonds

5.2 Corporate Bonds

ELEMENT 6 DERIVATIVES

6.1 Introduction

6.2 Futures

6.3 Options

6.4 SWAPS

6.5 Derivatives Uses

ELEMENT 7 INVESTMENT FUNDS

7.1 Introduction

7.2 Unit Trusts

7.3 Open Ended Investment Companies (OEICs)

7.4 Pricing, Dealing and Settlement

7.5 Investment Trusts

7.6 Real Estate Investment Trusts (REITs)

7.7 Exchange-Traded Funds

7.8 Hedge Funds

ELEMENT 8 FINANCIAL SERVICES REGULATION

8.1 Financial Services and Markets Act

8.2 Financial Crime

8.3 Insider Dealing and Market Abuse

8.4 Data Protection Act 1998

8.5 Breaches, Complaints and Compensation

ELEMENT 9 INVESTMENT WRAPPERS, TAXATION AND TRUSTS

9.1 Investment Wrappers

9.2 Individual Savings Accounts (ISAs)

9.3 Child Trust Funds

9.4 Pensions

9.5 Investment Bonds

9.6 Tax

9.7 Trusts

ELEMENT 10 INVESTMENT PRODUCTS

10.1 Loans

10.2 Mortgages

10.3 Life Assurance

Unit 2: Extended Project - Learning Outcomes

Students will be required to:

1. Identify, plan and produce an investigation
2. Undertake research, collect evidence and select information using appropriate methodologies
3. Analyse and interpret evidence, draw conclusions and write up results in the form of a report
4. Produce an evaluation

Project titles are provided by the CISI and are available at cisi.org/projecttitles

How is the Qualification Delivered?

Unit 1: **Introduction to Securities & Investment** offers candidates a valuable understanding of the language of the industry and provides firms with a benchmark entry level qualification. The course is assessed through a one-hour exam of 50 multiple-choice questions. The pass mark is 70%.

To offer greater flexibility to candidates, the **Introduction to Securities and Investment** is delivered by computer based testing (CBT). A worldwide network of test centres is available to ensure flexible scheduling, instant results and ease of completing the exam on screen. It can also be taken at a school or college premises using CISI software.

To find your nearest test centre please visit cisi.org/cbt

Unit 2: the **Extended Project** requires students to produce a 3,000-4,000 word project report plus a 500 word evaluation. The project report will be based on topic titles provided by the CISI. This unit provides students with the opportunity to demonstrate a range of competencies in collecting, analysing, managing and evaluating information. It also serves to develop their understanding of a selected topic which draws on knowledge gained in Unit 1.

“IMA members aim to recruit good quality, skilled people; this exam ensures that they will have a sound understanding of the investment industry as they start their careers

Richard Saunders, Chief Executive, IMA

Registering for the Certificate for Introduction to Securities & Investment

Step 1: Pay a one-off registration fee

Step 2: Book your exam/s

Step 3: Complete a Qualifications Registration Form at cisi.org/qrf to ensure that you receive your exam results and certificate.

Funding

This qualification is eligible for Government funding. Please see section 96 on the DFE website for more details (www.dfe.gov.uk).

Full-time students will receive a 50% discount on the registration, exam fee and the workbook. Free student membership and eLearning product are also included. For further details please visit cisi.org/prices

Studying and Training for the Certificate for Introduction to Securities & Investment

The CISI produces comprehensive, easy-to-use learning materials to assist teachers in delivering the syllabus and help students achieve the qualification. Resources provided to deliver the project include a teacher's guide, centre guidance, exemplar projects, workbook and eLearning product.

Official Learning & Resources Manual

Students will be supplied with a workbook at the beginning of the course which contains:

- ✓ Comprehensive coverage of the syllabus with text written and reviewed by senior industry practitioners
- ✓ Revision questions at the end of each chapter designed to test knowledge and encourage candidates to give written answers which increase subject retention
- ✓ Sample multiple-choice questions
- ✓ Clear explanations, graphics and tables to ensure complex subject matter is easily understood and absorbed
- ✓ A syllabus learning map to help candidates find specific learning objectives in the workbook
- ✓ A comprehensive glossary of financial terms



In addition, a fully interactive learning manual is being developed specifically for schools and will be available for the 2011/2012 academic year.

eLearning

eLearning products are interactive and engaging online study tools, covering the key points of the syllabus and designed to be used alongside the workbooks.



For more information visit cisi.org/elearning

Recommended Study Times

It is expected that students will spend 80 hours studying for Unit 1 and 120 hours studying for Unit 2 (40 hours of guided learning and 80 hours of unsupervised study). The flexible structure enables the course to be delivered intensively or over an academic year.

Train the Trainer

Prior to the delivery of training courses, the CISI provides a train-the-trainer service to the potential training staff at an accredited centre. A nominated individual will be trained in learning and teaching methods to provide tutors with insight into the optimal techniques and processes they need to prepare delegates for first-time success in the CISI exams.

A training day for the extended project is also available to teachers free of charge. Visit cisi.org/education for a list of forthcoming dates.

Careers Centre

The CISI takes your career progression seriously and has developed a careers centre to assist you in making the best and most suitable decision on your future career.

It contains information on what financial services are, job profiles of various sectors, careers advice, guidance on education and training and career development. There is assistance for all ages, no matter where you are in your decision-making process. Visit cisi.org/careers

CISI Membership

Candidates receive free student membership for 12 months on completion of the qualification registration form. This is extended at no extra cost if a candidate does not complete the qualification within 12 months.

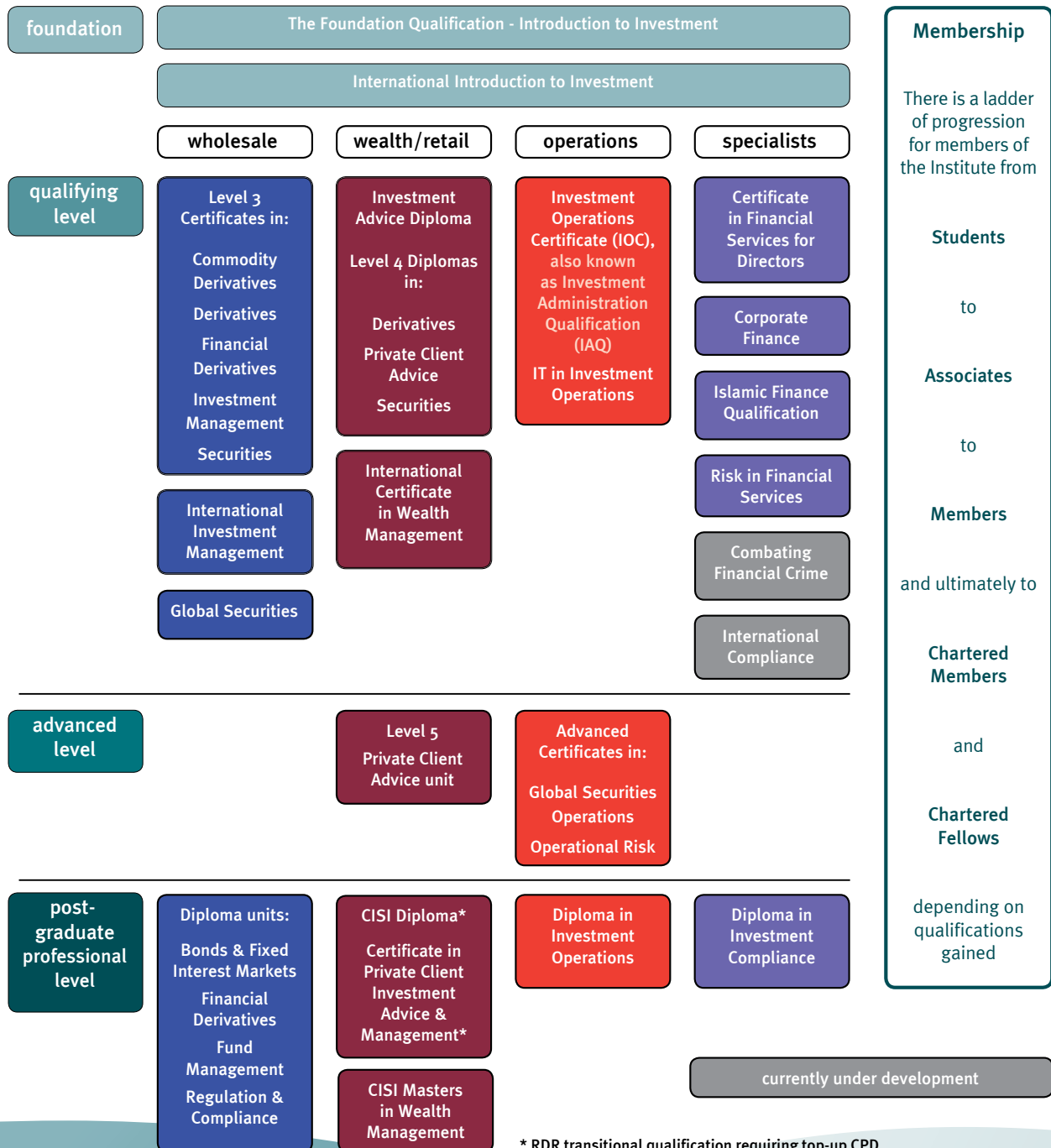
Student membership benefits include:

- *Securities & Investment Review* online
- discounts on conferences and training courses
- an online dictionary of securities & investment terms
- four free CPD events per year

Membership enables you to develop your career, increase your competence and maintain the highest standards of personal integrity. The programme of free professional benefits assists you to keep up to date with the industry.

To join the 40,000 financial practitioners and enjoy the benefits of CISI membership, find out more at cisi.org/membership or contact memberservices@cisi.org

The CISI Qualifications Summary



Membership

There is a ladder of progression for members of the Institute from

Students

to

Associates

to

Members

and ultimately to

Chartered Members

and

Chartered Fellows

depending on qualifications gained

* RDR transitional qualification requiring top-up CPD.

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